

## APPLICATION FOR RECORDS RETENTION SCHEDULE

GEORGIA DEPARTMENT OF HUMAN RESOURCES  
OFFICE OF ADMINISTRATIVE SERVICES  
RECORDS MANAGEMENT UNIT

For instructions on completing this form contact DHR Records Management Unit, 47 Trinity Avenue, Atlanta, Georgia 30334. Phone - (404) 656-4976 GIST: 221-4983

|  |  |   |  |                                       |                                      |
|--|--|---|--|---------------------------------------|--------------------------------------|
| <b>DHR</b>   |  | <b>1. GEORGIA DEPARTMENT OF HUMAN RESOURCES</b>   |  | <b>ARCHIVES AND HISTORY</b>           |                                      |
| Application Date<br><b>8/2/82</b>  |  | Div. Of Mental Health And Mental Retardation<br>Mental Retardation Section<br>47 Trinity Ave. Room 307-H<br>Atlanta, Ga. 30334                          |  | Application Number<br><b>76-245-A</b> |                                      |
| Application Number<br><b>82-27</b>   |  |   |  | Date Received<br><b>AUG 18 1982</b>   | Date Completed<br><b>SEP 16 1982</b> |
| 2. Person to Contact<br><b>Ralph McCuin</b><br><b>Jeanne Terhume</b>   |  | Working Title<br><b>Unit Supervisor</b><br><b>Secretary</b>   |  | Telephone Number<br><b>656-6370</b>   |                                      |
| 3. Action Requested<br>a. <input type="checkbox"/> Establish Retention Schedule; record will continue to accumulate.<br>b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated.<br>c. <input checked="" type="checkbox"/> Amend Application No. <b>76-245</b> Check One: <input checked="" type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void<br><b>Update Inclusive Materials and Form</b><br><b>Change Retention Instructions</b>   |  |   |  |                                       |                                      |
| 4. Dates of Series<br>Earliest<br>Latest   |  | 5. Records Series Title (followed by title used in office, if different)<br><b>Mental Retardation County Day Service Center Budget and Fiscal Files</b> |  |                                       |                                      |
| 6. Division and Office Function<br>What is the function of the Division and the Office in which this record series is created?   |  |   |  |                                       |                                      |
| 7. Records Series Description<br>This file contains the following documents (include form numbers and titles, if any): Attach samples of the file.<br>Documents relating to: <b>monitoring and reviewing funds spent by County MR Day Service Centers</b><br>Included are: <b>Form 1078 (Receipts and Expenditures- Requests For Funds); Form 1182 (County Budget Items Other Than Personal Services); Form 1183 (County Budget Personal Services) Form 1186 (Budget Expense and Resource Summary (MH/MR); Form 1187 (Budget Expense and Resource Appropriations Request); Form 1192 (Income and Expenditure Report (Public MR Day Training Line Item Budget); Form 5405 (Request For Budget Revision); Form 5410 (Budget Expense and Resource Summary); Form 5411 (County Budget Personal Services); Form 5412 (County Budget Items Other Than Personal Services); Form 5413 (County Budget Non-Participating Items); Form 5557 (Title XX Quality Control Finding); Un-numbered Forms- Community MH/MR Budget Allocation; Budget Recommendations; Day Training/Work Activity Center Active Service Report; Contract Amendments; Contract Information Sheet; Contract For Services and Addendums; Request For Contract Approval; (See Continuation Sheet)</b><br>The file is arranged : <b>Alphabetically by MH/MR County Day Service Center</b> |  |   |  |                                       |                                      |
| 8. Monthly Reference Rate<br>One to six months old _____ ; Seven to twelve months old _____ ; Thirteen to twenty-four months old _____ ; twenty-five months and older _____ ?<br>How often are records referred to which are:  |  |   |  |                                       |                                      |
| 9. Annual Rate of Accumulation or Records<br>Letter-size drawers _____ ; Legal-size drawers _____ ; Shelves _____ ; Other (Specify) _____  |  |   |  |                                       |                                      |

(Over)

| YES | NO | 10. Questionnaire (Place an "X" in the proper column)  |
|-----|----|--|
|     |    | a. Is this the official copy of the series?<br>If not, where is it?  |
|     |    | b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.                                     |
|     |    | c. Is this a vital record?   |
|     |    | d. Does this series have historical or long term research value?   |
|     |    | e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately? |
|     |    | f. Is the information contained in this series ever published? If yes, attach copy.  |
|     |    | g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.                            |
|     |    | h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?  |
|     |    | i. Is this series (or a major portion of it) regularly microfilmed?  |
|     |    | j. Does the record series result in a computer printout?   |

#### 11. Retention Requirements

The following requires the series to be kept:

- |                          |              |                                   |              |
|--------------------------|--------------|-----------------------------------|--------------|
| a. State Law             | _____ years. | d. Audit period                   | _____ years. |
| b. Statute of limitation | _____ years. | e. Administrative need            | _____ years. |
| c. Federal law           | _____ years. | f. Federal retention instructions | _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.

#### 12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☒ Fiscal Year; ☐ Other \_\_\_\_\_ then,

- ☐ Hold in the current files area \_\_\_\_\_ month(s) \_\_\_\_\_ year(s); then
- ☐ Transfer to local holding area; hold \_\_\_\_\_ year(s); then
- ☐ Transfer to State Records Center; hold \_\_\_\_\_ year(s); then
- ☐ Destroy
- ☐ Transfer to State Archives for permanent retention.
- ☒ Other (Specify) \_\_\_\_\_

#### Record Copy

Maintained by State Mental Retardation Section (Central Office)

Cut off file at the end of each fiscal year, hold in current files area 1 year, transfer to State Records Center, hold 4 years, then destroy.

These instructions apply to all prior and future accumulations of the series.

#### Reference Copy

Maintained in each County and Area Day Service Center

Cut off file at the end of each fiscal year, hold in current files area 2 years, then destroy

|                                  |         |  |        |
|----------------------------------|---------|--|--------|
| Agency Head/Designee (Signature) | Date    | Records Management Officer (Signature) | Date   |
| Ralph A. McLean                  | 7/26/82 | Paul T. Murphy                         | 8/2/82 |

State Records Committee (Signature)

Date

Recommendations in paragraph 12 are approved.  
(If disapproved, attach letter of explanation.)

State Auditor/Designee

Secretary of State/Designee

Attorney General/Designee

*[Signature]*

*[Signature]*

*[Signature]*

9-7-82

8/31/82

9/27/82

#7 Included Are; (contd)

Contract Financial Annex; Rental Agreement; Equipment Listings; Equipment Expenditures; Inventory and Supplemental Equipment Expenditures; Related Documents, and Correspondence.



## APPLICATION FOR RECORDS RETENTION SCHEDULE

OFFICE OF THE SECRETARY OF STATE  
DEPARTMENT OF ARCHIVES AND HISTORY  
RECORDS MANAGEMENT DIVISION

INSTRUCTIONS: See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

| FOR AGENCY USE                    | 1. Agency Address   | FOR RECORDS MANAGEMENT USE    |
|-----------------------------------|---|-------------------------------|
| Application Date<br>June 11, 1976 | Department of Human Resources<br>Division of Mental Health & Mental Retard.<br>Mental Retardation Section<br>47 Trinity Avenue, Rm. 542-H<br>Atlanta, Ga. | Application Number<br>76-245  |
| Application Number<br>DHR-68      |   | Date Received<br>JUL - 9 1976 |
|                                   |   | Date Completed<br>JUL 29 1976 |

2. Person to Contact: Budd Hughes  
Working Title: Assistant Division Director  
Telephone Number: 656-6370

3. Action Requested  
a. ☒ Establish Retention Schedule; record will continue to accumulate.  
b. ☐ Dispose of present accumulation; no further accumulation anticipated.  
c. ☐ Amend Application No. \_\_\_\_\_ Check One: ☐ Change; ☐ Supersede; ☐ Void

4. Dates of Series: Earliest 1973, Latest Present  
5. Records Series Title (followed by title used in office, if different):  
Mental Retardation Training Center Budget and Fiscal Files

6. Division and Office Function: What is the function of the Division and the Office in which this record series is created?  
The Division of Mental Health & Mental Retardation administers the mental health, mental retardation and other developmental disabilities, drug abuse, alcoholism, and training and research programs. This Division is also concerned with community mental health, and the administration of the State mental hospitals, rehabilitation and retardation centers.

The Mental Retardation Section is one of the programmatic sections of the Division of Mental Health and Mental Retardation. The Mental Retardation Section offers specialized services (primarily focusing on the mentally retarded within the I Q range of 0-55) administered through a comprehensive system of institutional and community service programs. The specialized services are provided through the following major programs; 1) Day Training and Work Activity Programs, 2) Group Homes, 3) Institutional Services, 4) Family Care Homes and 5) Foster Grandparent Programs.

7. Record Series Description: This file contains the following documents (include form numbers and titles, if any):  
Attach samples of the file.

Documents relating to: the monitoring and review of funds spent by Mental Retardation Training Centers.

Included but not limited to are:

1. County Budget Summary OAS(6)-60
2. County Budget Personal Services OAS(6)-61
3. County Budget Items Other Than Personal Services OAS(6)-62
4. County Budget Non-Participating Items OAS(6)-63
5. County Budget Revisions OAS(6)-80
6. Receipts and Expenditures-Request for Funds DCS/SSS(2)-138
7. Equipment Expenditures, Inventory and Supplemental Equipment Expenditures

(continued - Page 3) Fiscal

File is arranged: chronologically by year thereunder alphabetically by county.

Monthly Reference Rate: How often are records referred to which are:  
One to six months old 10; Seven to twelve months old 10; Thirteen to twenty-four months old 5;  
twenty-five months and older 1?

Annual Rate of Accumulation of Records:  
Letter-size drawers 2; Legal-size drawers; Shelves; Other (specify)

| YES | NO | 10. Questionnaire (Place an "X" in the proper column)  |
|-----|----|--|
| X   |    | a. Is this the official copy of the series?<br>If not, where is it?  |
|     | X  | b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.   |
|     | X  | c. Is this a vital record?   |
|     | X  | d. Does this series have historical or long term research value?   |
|     | X  | e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?                                 |
| X   |    | f. Is the information contained in this series ever published? If yes, attach copy. <i>Certain Statistical areas included in DHR Annual Report</i>                                   |
| X   |    | g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy. <i>Certain parts to be found in monthly annual summary</i> |
| X   |    | h. Is there a duplication of this series in your office, or in another office or agency? <i>Equipment records duplicated in Property Control Office</i>                              |
|     | X  | i. Is this series (or a major portion of it) regularly microfilmed?  |
|     | X  | j. Does the record series result in a computer printout?   |

#### 11. Retention Requirements

The following requires the series to be kept:

- |                          |              |                                   |                |
|--------------------------|--------------|-----------------------------------|----------------|
| a. State Law             | _____ years. | d. Audit period                   | _____ years.   |
| b. Statute of limitation | _____ years. | e. Administrative need            | 5 _____ years. |
| c. Federal law           | _____ years. | f. Federal retention instructions | 3 _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.  
 42 CFR 54.308, 54.309 Retention Period: 3 years from date of submission of annual or final report (or in the case of nonexpendable property, 3 years after final disposition of such property), or if Federal audit not completed at end of 3 years, until resolution of all audit questions.

#### 12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☒ Fiscal Year; ☐ Other \_\_\_\_\_ then.

- ☒ Hold in the current files area \_\_\_\_\_ month(s) 2 year(s); then
- ☐ Transfer to local holding area; hold \_\_\_\_\_ year(s); then
- ☒ Transfer to State Records Center; hold 3 year(s); then
- ☒ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

These instructions apply to all prior and future accumulations of the series.

| Agency Head/Designee (Signature)   | Date   | Records Management Officer (Signature) | Date    |
|--|--------|--|---------|
| <i>Ernest B. Hughes</i>  | 7/7/76 | <i>William J. McDowell</i>             | 6-14-76 |
| Recommendations in paragraph 12 are approved.<br>(If disapproved, attach letter of explanation.) |        | State Records Committee (Signature)    | Date    |
| State Auditor/Designee   |        | <i>[Signature]</i>                     | 7-28-76 |
| Secretary of State/Designee  |        | <i>Canell Hart</i>                     | 7-27-76 |
| Attorney General/Designee  |        | <i>[Signature]</i>                     | 7-28-76 |

Department of Human Resources  
Division of Mental Health & Mental Retardation  
Mental Retardation Section  
47 Trinity Avenue, Rm. 542-H  
Atlanta, Georgia

Page 3

#7 continued

8. Contract Information Sheet
9. Rental Agreement
10. Contract for Services and Addendums
11. Request for Contract Approval
12. Contract Financial Annex
13. and Similar and related documents



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DEPARTMENT OF ARCHIVES AND HISTORY  
RECORDS MANAGEMENT DIVISION

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| Application Number<br>DHR-68   |  | Date Completed<br>JUL 29 1976  |                               |
| 2. Person to Contact<br>Budd Hughes  |  | Working Title<br>Assistant Division Director   | Telephone Number<br>656-6370  |
| 3. Action Requested<br>a. <input checked="" type="checkbox"/> Establish Retention Schedule; record will continue to accumulate.<br>b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated.<br>c. <input type="checkbox"/> Amend Application No. _____ Check One: <input type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void  |  |  |                               |
| 4. Dates of Series<br>Earliest<br>1973   | Latest<br>Present  | 5. Records Series Title (followed by title used in office, if different)<br>Mental Retardation Training Center Budget and Fiscal Files |                               |
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| 8. Monthly Reference Rate<br>How often are records referred to which are:<br>One to six months old 10 ; Seven to twelve months old 10 ; Thirteen to twenty-four months old 5 ;<br>twenty-five months and older 1 ?   |  |  |                               |
| 9. Annual Rate of Accumulation of Records<br>Letter-size drawers 2 ; Legal-size drawers ; Shelves ; Other (specify)  |  |  |                               |

| YES | NO | 10. Questionnaire (Place an "X" in the proper column)  |
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| X   |    | a. Is this the official copy of the series?<br>If not, where is it?  |
|     | X  | b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.   |
|     | X  | c. Is this a vital record?   |
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| X   |    | g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy. <i>Certain parts to be found in monthly annual summary</i>                 |
| X   |    | h. Is there a duplication of this series in your office, or in another office or agency? If yes, where? <i>Equipment records duplicated in Record Copy of Contract covered under standard 75-267</i> |
|     | X  | i. Is this series (or a major portion of it) regularly microfilmed? <i>Property Control Office</i>   |
|     | X  | j. Does the record series result in a computer printout? <i>Office</i>   |

#### 11. Retention Requirements

The following requires the series to be kept:

- |                          |              |                                   |                 |
|--------------------------|--------------|-----------------------------------|-----------------|
| a. State Law             | _____ years. | d. Audit period                   | _____ years.    |
| b. Statute of limitation | _____ years. | e. Administrative need            | <u>5</u> years. |
| c. Federal law           | _____ years. | f. Federal retention instructions | <u>3</u> years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.

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☐ Calendar Year; ☒ Fiscal Year; ☐ Other \_\_\_\_\_ then,

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- ☐ Transfer to local holding area; hold \_\_\_\_\_ year(s); then
- ☒ Transfer to State Records Center; hold 3 year(s); then
- ☒ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

These instructions apply to all prior and future accumulations of the series.

| Agency Head/Designee (Signature)   | Date   | Records Management Officer (Signature)         | Date    |
|--|--------|--|---------|
| <i>Ernest R. Hayes</i>   | 7/7/76 | <i>William J. McDonald</i>                     | 6-19-76 |
| Recommendations in paragraph 12 are approved.<br>(If disapproved, attach letter of explanation.) |        | State Records Committee (Signature)            | Date    |
|  |        | <i>[Signature]</i>                             | 7-28-76 |
|  |        | Secretary of State/Designee <i>Canall Hart</i> | 7-27-76 |
|  |        | Attorney General/Designee <i>[Signature]</i>   | 7-28-76 |



Department of Human Resources  
Division of Mental Health & Mental Retardation  
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Page 3

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13. and Similar and related documents